



# **EDWARD LEONARD**

## ***Franklin County Treasurer***

### **Investor Rights**

“90% of the people in the stock market, professionals and amateurs alike, simply haven't done enough homework.” - William J. O’Neil, founder of “Investor’s Business Daily”

Before investing, it is important to do your homework. Knowing your rights as an investor is an important part of that homework. According to the North American Securities Administrators Association ([www.nasaa.org](http://www.nasaa.org)) these rights include:

- Information about the firm and who is handling the account.
- Details about the risk, obligations, and costs before investing.
- Copies of all completed account forms and agreements.
- Restrictions or limitations on accessing your funds.
- Prompt consideration and response to any concerns.

The Ohio Department of Commerce recommends that you “call the appropriate agency to confirm that the person/company holds a valid license before you invest.”

- Ohio Division of Securities – 1-800-788-1194, [www.securities.state.oh.us](http://www.securities.state.oh.us)
- Division of Real Estate – 614-466-4100, [www.com.state.oh.us](http://www.com.state.oh.us)
- Ohio Department of Insurance – 614-644-2658 or 1-800-686-1526, [www.ohioinsurance.gov/](http://www.ohioinsurance.gov/)
- Accountancy Board of Ohio – 614-466-4135, [www.acc.ohio.gov/](http://www.acc.ohio.gov/)
- The Supreme Court of Ohio – 1-800-826-9010 or 614-466-3456, [www.sconet.state.oh.us/](http://www.sconet.state.oh.us/)

#### **Read Our Other Investing Tips**

- Learn How to Invest
- Learn How to Invest in the Stock Market
- Planning for Retirement
- Teaching Kids to Invest
- Investing for Kids